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Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
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PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 98-2331

First Inventor David H. DeYoung et al.

Title Aluminum Alloys Having Improved
Cast Surface Quality

Express Mail Label No. EJ243930675US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 14]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
5. Oath or Declaration [Total Pages 2]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No. 09, 685,283

Prior application information:

Examiner J. Combs

Group / Art Unit 1742

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Labelor ☐ Correspondence address below

Name

08840

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Edward L. Levine

Registration No. (Attorney/Agent)

28097

Signature

Date Jan. 18, 2002

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PTO/SB/05 (08-00)
10/053208
01/18/02J1057 U.S. PTO
01/18/02

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**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$) 1358

Complete if Known

| | |
|----------------------|-------------------------|
| Application Number | |
| Filing Date | |
| First Named Inventor | David H. De Young et al |
| Examiner Name | |
| Group Art Unit | |
| Attorney Docket No. | 98-2331 |

METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

01-1000

Deposit
Account
Name

Alcoa Inc.

- ☐
- Charge Any Additional Fee Required
-
- Under 37 CFR 1.16 and 1.17

- ☐
- Applicant claims small entity status.
-
- See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:**

- ☐
- Check
- ☐
- Credit card
- ☐
- Money
-
- Order
- ☐
- Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

| | | | | | |
|-----------|-----------|-----|-----|------------------------|-----|
| Code (\$) | Code (\$) | | | | |
| 101 | 740 | 201 | 370 | Utility filing fee | 740 |
| 106 | 330 | 206 | 165 | Design filing fee | |
| 107 | 510 | 207 | 255 | Plant filing fee | |
| 108 | 740 | 208 | 370 | Reissue filing fee | |
| 114 | 160 | 214 | 80 | Provisional filing fee | |

Fee Paid

SUBTOTAL (1) (\$) 740

2. EXTRA CLAIM FEES

| | | | | | | | |
|--------------------|----|---------|----|---|----|---|-----|
| Total Claims | 45 | -20** = | 25 | X | 18 | = | 450 |
| Independent Claims | 5 | -3** = | 2 | X | 84 | = | 168 |
| Multiple Dependent | | | | | | | |

Large Entity Small Entity

Fee Fee Fee Fee

Code (\$)

Code (\$)

Fee Description

| | | | | |
|-----|-----|-----|-----|--|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 | Multiple dependent claim, if not paid |
| 109 | 84 | 209 | 42 | ** Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 618

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Fee Code | Large Entity (\$) | Small Entity (\$) | Fee Code | Large Entity (\$) | Small Entity (\$) | Fee Description | Fee Paid |
|---------------------------|-------------------|-------------------|----------|-------------------|-------------------|--|----------|
| 105 | 130 | 205 | 65 | | | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | | | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | | | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | | | For filing a request for <i>ex parte</i> reexamination | |
| 112 | 920* | 112 | 920* | | | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | | | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | | | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | | | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | | | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | | | Extension for reply within fourth month | |
| 128 | 1,960 | 228 | 980 | | | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | | | Notice of Appeal | |
| 120 | 320 | 220 | 160 | | | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | | | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | | | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | | | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | | | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | | | Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | | | Design issue fee | |
| 144 | 620 | 244 | 310 | | | Plant issue fee | |
| 122 | 130 | 122 | 130 | | | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | | | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 | | | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | | | Recording each patent assignment per property (times number of properties) | |
| 146 | 740 | 246 | 370 | | | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 740 | 249 | 370 | | | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 740 | 279 | 370 | | | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | | | Request for expedited examination of a design application | |
| Other fee (specify) _____ | | | | | | | |

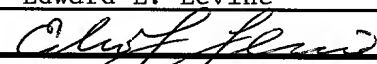
*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$) 0

SUBMITTED BY

Complete (if applicable)

| | | | | | |
|-------------------|---|-----------------------------------|------------------|-----------|--------------|
| Name (Print/Type) | Edward L. Levine | Registration No. (Attorney/Agent) | 28097 | Telephone | 724-337-2759 |
| Signature |  | Date | January 18, 2002 | | |

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